

BEFORE THE SECURITIES COMMISSIONER

STATE OF COLORADO

Case No. XY 15 - CD - 06

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**CONSENT CEASE AND DESIST ORDER CONCERNING JAMES E. BEATTIE**

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IN THE MATTER OF JAMES E. BEATTIE

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THIS MATTER is before Gerald Rome, Securities Commissioner for the State of Colorado, on the Stipulation for Consent Cease and Desist Order Concerning Respondent James E. Beattie ("Respondent"). After reviewing the Stipulation, and the grounds therein, and further being fully advised in the premises, the Securities Commissioner makes the following Findings and enters the Order as hereinafter set forth:

**FINDINGS**

1. The Securities Commissioner (the "Commissioner") has jurisdiction over the Respondent and this matter pursuant to the provisions of the Colorado Securities Act, §§ 11-51-101 through 803, C.R.S. (the "Act").
2. By entering into the Stipulation for this Consent Cease and Desist Order, the Respondent has waived his rights to notice and a hearing on the allegations against them pursuant to § 11-51-606(1.5), C.R.S. and §§ 24-4-104 and 105; the right to be represented at such hearing by counsel chosen and retained by him; the right to present a defense through oral and documentary evidence and to cross-examine witnesses at such hearing; and the right to seek judicial review of this Consent Order entered pursuant to the Stipulation.
3. The Commissioner acknowledges that by entering into the Stipulation, the Respondent neither admits nor denies that the allegations or matters set forth in the Stipulation are true.
4. The Respondent has waived the findings required by § 11-51-606(1.5)(d)(IV), C.R.S.; and, pursuant to § 11-51-704(2), C.R.S., the entry of this Consent Order is necessary and appropriate in the public interest and is consistent with the purposes and provisions of the Act.

## ORDER

NOW, THEREFORE, on the basis of the foregoing, it is hereby ORDERED as follows:

1. The Respondent is hereby immediately and permanently ordered to cease and desist from engaging in any of the following acts:

- a. Engaging, for compensation, in the business of advising others, either directly or through publications or writings, as to the value of securities or as to the advisability of investing in, purchasing, or selling securities, or, for compensation and a part of a regular business, issuing or promulgating analysis or reports concerning securities, or
- b. Providing investment advisory services to others for compensation or holding himself out as providing investment advisory services for compensation.

in violation of §11-51-401, C.R.S.

2. The provisions of the Stipulation are incorporated into and made a part of this Consent Cease and Desist Order.

3. The Commissioner shall retain jurisdiction over this action to ensure the compliance by the Respondent with this Order, and reserves the power to enter additional orders to effectuate and to ensure the compliance by the Respondent with this Order.

4. In the event the Staff commences an action against the Respondent for an alleged violation of this Consent Cease and Desist Order, then this Consent Cease and Desist Order, the Stipulation for Consent Cease and Desist Order, and the factual basis of this proceeding shall be admissible in any such action.

  
GERALD ROME  
Securities Commissioner

12/3/14  
Date